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ABSTRACT

In order to study the general objectives, methods, and provisions for institutional research in the community college, this document surveys the pertinent literature and reviews institutional research practices at selected community colleges. In general, three basic governance structure models are identified which represent varying relationships between the chief officer of institutional research, the staff, and the college president. Although most institutions have no set policies or procedures relating to institutional research, those that do: (1) provide recognition of the value subjects of such research, and (3) establish priorities and procedures for the chief officer. Methods of increasing faculty participation in institutional research are identified as: maintenance of a professional library, establishment of incentive mini-grants, and appointment of an advisory research committee. On the basis of this information, past institutional research efforts at Black Hawk College (Illinois) are critically evaluated, and recommendations are made to improve institutional research at the college in the future. (Author/NHM)

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DEVELOPING A POLICY ON INSTITUTIONAL RESEARCH FOR BLACK HAWK COLLEGE

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A PRACTICUM PRESENTED TO NOVA UNIVERSITY IN PARTIAL FULFILLMENT OF THE REQUIREMENTS FOR THE DEGREE OF DOCTOR OF EDUCATION

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AN ABSTRACT

This study attempted to provide a basis for improved and increased completion of institutional research as a means to improved decision-making without the requirements of additional funding and by increasing faculty involvement and success in such research. It studied the general objectives of, methods of, and provisions for institutional research by a survey of pertinent literature and a review of practices elsewhere and it analyzed the failures of past institutional research efforts at Black Hawk College and determined its future needs. As a result, this study recommended a change in the title of and duties of the research analyst so that he could assist and improve research; a consideration of research needs as a part of the budget allocation process; and the creation of a research advisory committee to assist in the coordination of institutional research and to encourage faculty participation by means of mini-grants, the availability of a research library, and the recognition of institutional research accomplishments as one of the criteria for promotion in academic rank.

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CHAPTER 1: INTRODUCTION

In this study, institutional research is defined as that research performed within an institution on current issues and problems with the purpose of providing the basis for rational decision-making and planning and with the intention of successfully operating and improving the institution.[1] So defined, institutional research does not necessarily include the compilation of data for reports requested by state and federal agencies unless such reports are actually used as a basis for institutional decision-making.[2] Partly for this reason and partly because of the diversity and breadth of institutional research, this study separates such compilation of data and reporting from its concerns. In addition, the development of management information systems, such as those of the Western Interstate Commission of Higher Education, a compact in which Black Hawk College has had limited participation, promises, in the view of Thomas Mason, to standardize,

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[1]Definition suggested by John E. Roueche and John R. Boggs, Junior College Institutional Research: The State of the Art (Washington, D.C.:American Association of Junior Colleges, 1968), p. 5, and N. Dean Evans and Ross L. Neagley, Planning and Developing Innovative Community Colleges (Englewood Cliffs, N.J.: Prentice Hall, 1973), p. 232.

[2]Roueche and Boggs, p. 5.

external to an institution, the gathering and reporting of such data.[1] Although such external direction can have a significant impact upon the data bank established within an institution and, therefore, upon its institutional research, still such a compilation of data directed and requested or required externally, does not come within institutional research as defined above. Furthermore, this sort of compilation of data and reporting has come to dominate the activities of institutional research offices to such an extent that Dressel has suggested removing this function entirely from the office of institutional research and placing it within the business office, the student services office, and other appropriate offices so that institutional research can be completed.[2]

Traditionally, research has been viewed as a mission of higher education, especially within universities with sizeable graduate school programs, but such research has been primarily pure research, designed to provide major additions to existing knowledge within academic disciplines and conducted primarily by the faculty. Within the university community, institutional research, especially research dealing with the instructional process itself, has received only limited federal funding when compared with support of pure research activities. In the view

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[1]Thomas Mason, "Developing and Using Information Systems," in Institutional Research in the University: A Handbook, ed. Paul L. Dressel (San Francisco: Jossey-Bass, Inc., 1971), p. 182.

[2]Paul L. Dressel, "Toward the Future," in Institutional Research in the University: A Handbook, p. 315.

of Francis A.J. Ianni, former Chief of the Cooperative Research Program, U.S. Office of Education, one possible cause has been "the lack of drama in educational research; no congressman's daughter has ever died of a split infinitive."[1] And, unlike the areas of medicine, agriculture and national defense, education does not seem to depend upon and to demand research, even when needed. Without adequate research, the educational process can continue; if educators do not know or cannot find out through research, they guess, and the educational system, firmly based in the social and economic system, continues.[2]

However, the comparatively recent emergence of three major crises in higher education--the student revolts of 1964-69, the lack of adequate funding, and widespread reaction against its performance--has served to challenge university research functions, to provide momentum for the organization and funding of institutional research offices, and to elevate applied institutional research, in the minds of many, to a position even rivaling that of the traditional view of the appropriateness and significance of pure research to the university.[3]

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[1]Seymour E. Harris and Alan Levensohn, Education and Public Policy(Berkeley: McCutchan Publishing Corporation, 1965), p. 124.

[2]Ibid., p. 123.

[3]Frederick deW. Bolman, "University Reform and Institutional Research," in The Challenge and Response of Institutional Research, ed. Cameron Fincher(U.S. Educational Resources Information Center, ERIC Document ED048, May, 1969), p. 13.

Institutional research has come even later to the community college than to the university. A number see as one reason the traditional view of the community college as a teaching and not a research institution.[1] The unfortunate result of such a view has been described by Snyder:

> It has contributed to a static model of traditional instruction and curriculum design, usually modeled on the four-year college or university.[2]

Instead, he believes that a community college faculty should be innovative, engaging in research projects to evaluate programs, to learn more about its students, and to determine learning outcomes.[3] Especially needed in the community college is instructional research because of the community college's proportionally large enrollment of low-ability students and because of its increasing use of non-traditional teaching methodologies and delivery systems, like computer-assisted learning, individualized instruction, and television instruction.[4] In 1972, institutional research officers meeting in St. Louis under the auspices of the League for Innovation in the Junior College agreed upon six major

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[1]Fred A. Snyder, "Institutional Research at the Two-Year College: Building the Foundation," in The Practitioner Views Institutional Research, ed. Park Young(topical paper, University of California, 1972), p. 19.

[2]Ibid., p. 21.

[3]Ibid., p. 9.

[4]Henry Moughamian, "Institutional Research in the Community College," in The Practitioner Views Institutional Research, p. 54.

components in any comprehensive program of institutional research in the community college: (1) the assessment of the allocation of resources; (2) the assessment of student potential; (3) the assessment of student achievement; (4) the analysis of curriculum, program needs, and priorities; (5) the assessment of the college's impact upon the community, and (6) providing research assistance to faculty and staff wishing to engage in institutional research.[1]

To anyone associated with the community college, the need for such research and the benefits accruing from it are evident. However, the newly emerging need for and interest in institutional research in the community college is being frustrated by three major conditions. First is the lack of adequate funding to establish and maintain an office of institutional research.[2] Second is the increasing demand from external agencies for reporting and the compilation of data that, in many cases, has almost completely consumed the available time and resources established for institutional research.[3] And, third is the lack of interest in using institutional research to change institutional practices[4] and a fear that individual decision-

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[1]Young, The Practitioner Views Institutional Research, p. 7.

[2]Ann Bromley, "Research and Faculty Involvement in a Junior College," in The Practitioner Views Institutional Research, pp. 42-43.

[3]Robert J. Chick, "Institutional Research Office Development in Eight Community Colleges(U.S. Educational Resources Information Center, ERIC Document ED095954, January, 1974), p. 8.

[4]Arthur M. Cohen, Dateline '79: Heretical Concepts for the Community College(Beverly Hills, Ca: Glencoe Press, 1969), p. 104. Dressel, Institutional Research in the University: A Handbook, p. 21.

making and aspirations may be set aside by research findings and that the status quo, especially in relation to teaching load and faculty evaluation, or its absence, may be challenged by institutional research.[1]

In attempting to conduct institutional research, Black Hawk College shares many of these same deficiencies and problems. Budgetary constraints have thus far made it impossible for the college to fill the position of vice president of planning and development. A college research analyst, hired in 1974, has had to devote most of his time to the compilation and reporting activities required by external agencies. In general, administrators who possess the training and the understanding of institutional research necessary to initiate and to complete it have not had time to do so. In the last two years, the faculty, through its committee structure, has attempted research on "the quality of instruction," especially on the effectiveness of newly-developed teaching methodclogies, and on a newly-established faculty workload system and faculty evaluation system, but such attempts have produced few conclusions or results because of a lack of direction and of an understanding of the methods and mastery of the tools of institutional research. At a time when the college needs a clear understanding of its community support in order to determine whether or not it should attempt securing passage of a referendum for increased property taxes; when budgetary constraints suggest a need for careful research on the effectiveness and necessity of

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[1]F. Craig Johnson, "Studying Teaching and Learning," in Institutional Research in the University: a Handbook, p. 150.

certain programs and curricula; when the college has come through a period of rapid changes in teaching methodologies and the development of non-traditional delivery systems, degree programs, and courses; when a serious shortage of classroom space requires space utilization study; and when the faculty seems to be becoming increasingly aware of the need for institutional research, at least as reflected in the objectives and efforts of faculty senate committees, institutional research is uncoordinated; the commitment of college administrators to support necessary research is not matched by developed procedures to identify and provide such support; and the college's financial resources are so limited that any significant increase in the institutional research budget seems an unrealistic goal.

The major purpose of this study is to determine a policy and a procedure that will provide the coordination of institutional research and the procedures and policies necessary for its successful completion without any major increase in present funding for such research. It will do so by a consideration of recommendations on institutional research in pertinent literature, by a study of the organization of institutional research organizations presently in operation at institutions of higher education with a record of successful institutional research, by a study of ways to secure and coordinate faculty involvement in institutional research elsewhere and by a study of the present state of institutional research at Black Hawk College--its governance structure, deficiencies and needs--in order to suggest a new organization and new procedures to encourage such research.

CHAPTER 2: BACKGROUND AND SIGNIFICANCE

Very comprehensive lists of suggestions and guidelines for the establishment and operation of an office of institutional research are found in a number of sources, but perhaps one of the best occurs in an article by Boris Blai, Jr., Director of Research at Harcum Junior College, Bryn Mawr, Pennsylvania, which appeared in the Journal of the College and University Personnel Association. He urges as first steps in the formulation of a basic philosophy of institutional research the recognition of a need for administrative leadership and wide staff involvement and the securing of specific and adequate financial support.[1] Various suggestions for adequate budget allocations for institutional research have been made. Bromley suggests 3-5% of the total budget as favorable, but reports that the actual budget is often as low as .5%.[2] In a 1969-70 survey, Pieper found that the actual average support for institutional research in all two-year colleges with an FTE enrollment of 1000-4900, the range in which Black Hawk College currently would be found, was $23,100.[3]

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[1] "Institutional Research--A Junior College Management Tool," Journal of the College and University Personnel Association, February, 1969, p. 60.

[2] Bromley, pp. 42-43.

[3] W.C. Pieper, Jr., Financial Support for Institutional Research, 1969-1970 (Association for Institutional Research, 1971), p. 18.

In 1973-74, Chick, studying eight midwestern community colleges with well-established research offices, found an average institutional research budget of $53,425, an average FTE student enrollment of 5,147, an average total college budget of $8,160,00, and an average number of full-time employees within the research office of 3.5.[1]

Blai also urges that responsibility for the coordination of institutional research be assigned, but notes varying patterns of organization.[2] Moughamian recommends that the head or director of institutional research be a staff and not a line officer.[3] Kovach notes two patterns: one in which the coordinator reports directly to the president's office because of the influence that he gains by so doing and the other in which he has a staff relationship to the college's chief academic office so that he can be in the best position to effect policy changes and so that he can be closer to his primary concerns, academic programs.[4] In the case of his reporting to the college president, he would probably be concerned primarily with operational questions of a fiscal and managerial nature, and, in the second view, which is currently dominant, that in which he maintains a staff relationship

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[1]Chick, p. 4.

[2]Blai, p. 61.

[3]Moughamian, p. 52.

[4]Robert V. Kovach, Institutional Research in the Community College(U.S. Educational Resources Information Center, ERIC Document ED088554, November, 1971], pp. 15-16.

to the chief academic office, he would be most likely to attempt problem-solving in all areas.[1] In his survey of eight midwestern community colleges, Chick found the chief institutional research officer reporting to the college president in three cases, to the administrative assistant to the president in one, to an unspecified vice president in two, and to the dean of admissions in one.[2]

Blai suggests further that a staff advisory committee for institutional research be established to provide direction, set priorities, assure staff involvement and evaluate outcomes, and that all faculty and staff members be encouraged to study problems in their areas so that the benefits of institutional research can be widespread.[3] A number of others have urged the use of a staff research advisory committee, and, as will be described below, such a committee is found in models of institutional research organizations. The methods suggested for encouraging faculty and staff to participate in institutional research are the obvious ones: (1) recognition of faculty efforts by released time and extra pay and in other ways as well;[4] (2) provision for in-service training to equip faculty to conduct such research;[5]

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[1]Kovach, p. 9.

[2]Chick, p. 4.

[3]Blai, p. 60.

[4]Snyder, p. 21.

[5]Bromley, p. 44.

[3] emphasis on the role of research in assisting the teaching function;[1] [4] dissemination of research findings and data, the availability of help from the research office, and provision for formal publication of studies;[2] and [5] maintaining a "research library" for staff use.[3] The reasons for doing so, once again, are well-accepted and obvious. As one research officer explained, "Only a few offices of institutional research have tapped the reservoirs of talent inherent in the faculty."[4] Bromley notes that budgetary constraints can be overcome if the office of institutional research develops a program to use the abilities and time of the faculty and the administrative staff.[5] In addition, often the teacher is the one who can best research the effectiveness of teaching methodologies, curricula, and programs,[6] and, since the most convincing research is done by those closest to the area being investigated, the faculty will probably best accept the results of research by other faculty, especially in the areas of teaching methodology, program and curriculum evaluation,

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[1]Bromley, p. 44.

[2]Ibid., pp. 44-45.

[3]Jack Testerman, et al., Institutional Research: A Review of Literature to 1972(U.S. Educational Resources Information Center, ERIC Document ED077476, August, 1972), p. 18.

[4]Harris, p. 142.

[5]Bromley, p. 43.

[6]Harris, p. 142.

teacher evaluation, faculty workload, and other similar areas.[1]

Blai further emphasizes the need for the office of institutional research to provide the facilities and staff assistance, including clerical and secretarial help and data processing, for the conduct of studies. Closely related is his recommendation that centralized files of data be located in the institutional research office.[2] These recommendations are also made by Cook more specifically. He recommends that the office of institutional research provide design and evaluative services for studies of an academic nature and that it maintain a master list of all studies and of helpful material.[3] Dressel has suggested that a comprehensive set of basic institutional data be made available in fact-book form.[4] He also notes that the view of the institutional research office that is becoming most common is as a coordinator of research activities and an advisor to researchers.[5]

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[1]Dressel, Institutional Research in the University: A Handbook, p. 34.

[2]Blai, p. 61.

[3]James E. Cook, "Organization and Administration of Institutional Research in Community Colleges" in The Practitioner Views Institutional Research, p. 12.

[4]Dressel, Institutional Research in the University: A Handbook, p. 96.

[5]Ibid., p. 311.

Blai emphasizes the importance of the office's efforts to encourage the use of research findings. One way is to involve faculty and staff in research; another is to provide for wide dissemination of findings, and another is to ensure that the studies conducted are meaningful.[1] These functions will be best served if the office remains objective, not the "handmaiden of administrative policy,"[2] and if the objectives of research are not too broad and the design is consistently good.[3]

Finally, Blai points out the importance of the research office's participation in and cooperation with other agencies, especially in sharing data and findings.[4]

All of these guidelines serve to suggest the importance of wide participation in institutional research: a coordinator of research who serves in a staff function to assist all parts of the institution in the gathering of data to be used in effective decision-making, who is assisted by a staff advisory committee to ensure that the priorities and direction for the office reflect the views of the entire institution, and, above all, who can involve all the faculty and staff in such research efforts.

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[1]Blai, p. 61.

[2]Thomas R. Mason, "The Role of Institutional Research in Decision-Making," in The Instructional Process and Institutional Research, ed. Galen N. Drewry(U.S. Educational Resources Information Center, ERIC Document ED048655, 1967), p. 32.

[3]Harris, p. 128.

[4]Blai, pp. 61-62.

These guidelines also suggest reasons for such wide involvement, including a need to ensure that those who have the best knowledge of a problem are involved in solving it and that institutional research will not come to be dominated a few, who in the act of controlling such research can also control the decision-making process. However, of especial importance to this practicum is the view that such involvement can result in significant accomplishments in institutional research without a large and expensive staff and office. Thus, an approach to the encouragement of institutional research at Black Hawk College among all faculty and administrators offers a possible solution to the current problems of the college in this area: toolittle money and too many needs. The work of this practicum is based upon the assumptions that an institutional recognition of the importance of institutional research, the provision for its coordination, and the development of methods to involve the entire college community in it can overcome present obstacles to such research and result in the college staff and faculty coming to view and to use such research as a foundation for good decision-making.

This practicum has furnished the participants with an experience in actual policy-making, and as such may be related closely to the Educational Policy Systems Module. The participants have become aware of some of the constraints placed upon Black Hawk College by the requirements of reporting to external

agencies and the effects of such constraints upon the College. In the research on and the formulation of a proposed policy stance for Black Hawk College, the participants have had to consider the entire institution and its policy systems: it needs, the limits of its resources, administrative views, anticipated attitudes of the Board of Trustees, faculty positions; and, in attempting to secure change in the institution as a result of this practicum, the participants will be concerned with effecting an actual policy decision. As such, this practicum is a suitable conclusion for the Educational Policy Systems Module, for the ability to do so is one of the objectives of that module.

CHAPTER 3: PROCEDURES

The comprehensive set of guidelines presented in Chapter 2 provides some basis for planning institutional research governance structure and procedures and policy. The actual procedures used in this study result from a study of educational policy systems. The participants have reached a policy decision in relation to institutional research by a process that should convince those in a policy-making position that the decisions are based upon a thorough study of practices elsewhere and of the needs of Black Hawk College. The procedures selected to accomplish this goal are as follows.

A part of this study involved correspondence with forty-two offices of institutional research in institutions of higher education that have had a record of successfully completed and published institutional research as suggested by the frequency of their listings in bibliographies of institutional research. A list of these institutions as well as a copy of the letter requesting information is included in Appendix A. This letter specifically requested information on institutional policies on research, on the activities of the institutional

research office, on commitment of institutional resources to such research and on the sponsorship of faculty research. Twenty-one offices responded with an abundance of materials, including policies, procedures, budget information, objectives, copies of published studies and articles on institutional research, and descriptions of the organization of their offices. This information was used in two ways in this practicum. First of all, it provided the basis of a study of models of governance structures providing for institutional research, and, second, it furnished models of policy and procedures used elsewhere.

A second procedure used in this study involved an interview of Black Hawk College administrators selected because of their involvement in institutional research or the obvious relationship between their responsibilities and the results of such research. A list of these administrators and their descriptive job titles is included in Appendix B. Also included in Appendix B is a copy of the interview form that served as a basis for discussion. The College President was selected because of his obvious institutional significance and also because of his understanding of the attitudes of the Board of Trustees. The Vice President for Academic Affairs and Provost of the Quad-Cities Campus was also selected for these reasons. In addition, he was selected because he was originally hired in the position of Vice President for Planning and Development, and, when

he was named Vice President for Acacemic Affairs of the Quad-Cities Campus, the position of Vice President for Planning and Development was left vacant and has not been filled since. Thus, he could be expected to have a knowledge of institutional research. Also, in his present position he has conducted much of the institutional research at Black Hawk College that has been done. The Vice President for Administration and Finance was selected because, in his position of responsibility for budget-building and fiscal study, he, too, is involved in institutional research, understands many of the college needs for such research, and is aware of the nature of the college's relationship with NCHEMS of WICHE. The Dean of Student Services for the Quad-Cities Campus was selected because his position description makes him responsible for student-related institutional research and because, in this position, he has completed a number of institutional research projects. The Research Analyst was selected because currently he is primarily responsible for the coordinating of institutional research, and the College Development Officer was of importance because he has developed a close working relationship with the Research Analys- and because he too completes institutional research as directed by the College President, to whom he reports, and in the process of completingrequests for grants.

These administrators were questioned in a number of areas relating to institutional research: the type, quality, and need of current institutional research; their view on faculty

qualifications for institutional research work; the causes for deficiences in current research at Black Hawk College; their view on the best governance structure to use to provide for institutional research; their opinions as to the College's financial resources to support such research; their views on whether or not the Board of Trustees would take a policy stand in relation to institutional research; their understandings of the inter-institutional cooperation for institutional research that the College is engaged in; and their attitudes toward and understanding of the need for such research by college committees. The length of time that each of these interviews took varied from approximately forty-five minutes to almost two hours.

The procedures of this practicum also included a survey of pertinent literature to provide a basic understanding of the aims and methods of institutional research, of governance structures that accomodate it, of procedures and policies relating to it, and of some of its methods and goals.

In addition, the procedures of this practicum included a study of current institutional research at Black Hawk College, the governance structure that provides for it, how that structure functions, policies that relate to it, and established procedures. This study involved a review of the job descriptions of administrators who were interviewed in the procedure described above; a study of the policies, procedures, and governance structure outlined in the College's North Central Self-Study Report of 1974; a review of memoranda and reports used in the Budget

Allocation and Institutional Objectives procedures; interviews of past Faculty Senate chairmen; and a review of the minutes of the Faculty Senate and its committees for the past two years.

CHAPTER 4: RESULTS

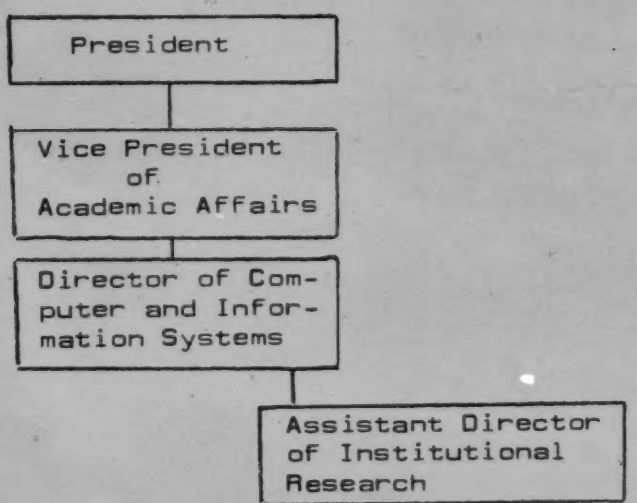
Such a comprehensive set of guidelines, as was presented in Chapter 2, provides some basis for planning institutional research governance structure and procedures and policy, but the major method of this practicum is the use of the procedures outlined in Chapter 3, one of which was the evaluation of models of such organization and of policy and procedures. A part of this procedure involved correspondence with forty-two offices of institutional research in institutions of higher education that have had a record of successfully completed and published institutional research. Replies from this correspondence as well as suggestions made in pertinent literature provide the models described and discussed below.

Governance Structure Models

Three governance structure models for the location of the office of institutional research exist. In the first, such as that found at Oklahoma State University in Stillwater, the chief officer of institutional research has a line relationship to an immediate supervisor, who may be the vice president of academic affairs, an executive vice president, or a line officer within their span of control. In the second, such as that found at the University of Tennessee in Knoxville, the

chief officer maintains a staff relationship to all departments and reports directly to the president, chancellor, or provost or to his administrative assistant. In the third, such as that found at Los Angeles City College, the officer maintains a line relationship to a vice president or director of planning or research, but, within this position, he is also expected to function in a staff relationship to all departments in the institution.

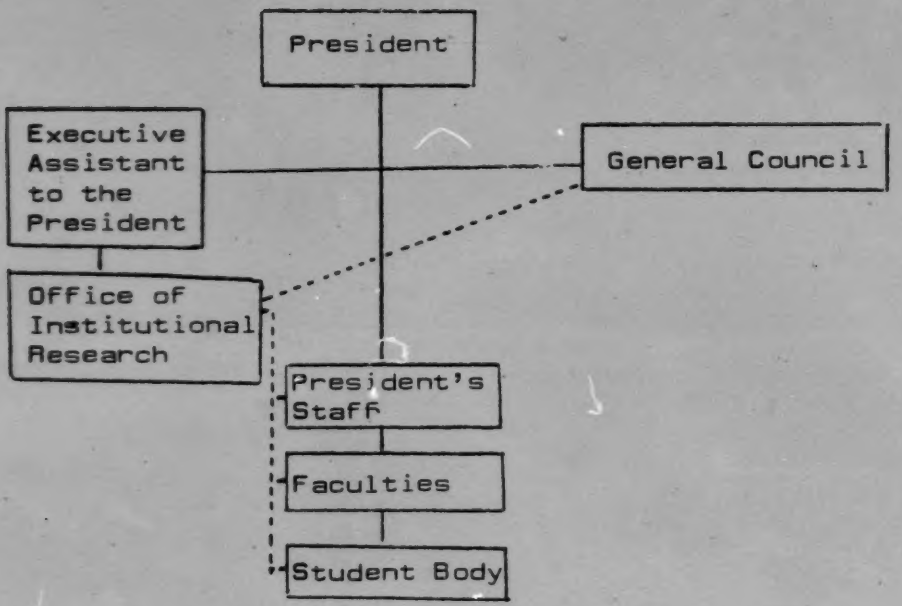
FIGURE 1: Oklahoma State University, Stillwater[1]


President
Vice President of Academic Affairs
Director of Computer and Information Systems
Assistant Director of Institutional Research
(He also maintains a line responsibility to the vice president of business and finance.)

[1] "Office of Institutional Research," [a report prepared by the Office of Institutional Research, Oklahoma State University, Stillwater, Oklahoma, n.d.]. [Mimeographed.]

At Oklahoma State University, the placement of the office of institutional research under the director of computer and information systems assures that it has good input into the design of the data bank and utilization of computer services; its line responsibility to the vice president of business and finance assures that the officer filling that position will have available from the office of institutional research the assistance that he needs; and its placement under the span of control of the vice president of academic affairs provides for an adequate emphasis upon research other than fiscal, especially research related to instruction. However, the office functions in a line and not a staff position, and, as such, it could easily become "the handmaiden of the administration," failing to encourage and facilitate research by faculty and students. In addition, its placement three administrative levels below the university's chief administrator provides it with diminished input into top-level administrative decision-making.

FIGURE 2: University of Tennessee, Knoxville[1]



As is evident in the organization in Figure 2, just above, at the University of Tennessee, the chief officer of institutional research maintains a staff relationship to the administration, faculty, and students. Located on the Knoxville Campus, this office serves all five campuses of the university and acts as a liason with the Tennessee Higher Education Commission, sometimes coordinating its studies. In such a position, the autonomy of the office is established, and it can avoid the bias of a line position. However, this autonomy itself can result in problems.

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[1]"The University of Tennessee Self-Study,"[draft report prepared by the Sub-Committee on Institutional Research and submitted to the Committee on General Administrative Services, University of Tennessee, Knoxville, n.d.]. [Mimeographed.]

For example, the University of Tennessee's Office of Institutional Research reports difficulties in relation to securing adequate computer services,[1] something unlikely to happen at the University of Oklahoma. In addition, in such an autonomous position, and especially because it reports to an executive assistant to the president and not directly to the president, it lacks a strong advocate, such as a vice president, to whom it probably would report in a line position; and, therefore, it may not have adequate input into the decision-making process. However, the philosophical stance of this office of institutional research is that its major responsibility is to provide information requested by decision-makers and not involvement in the actual decision-making process.[2]

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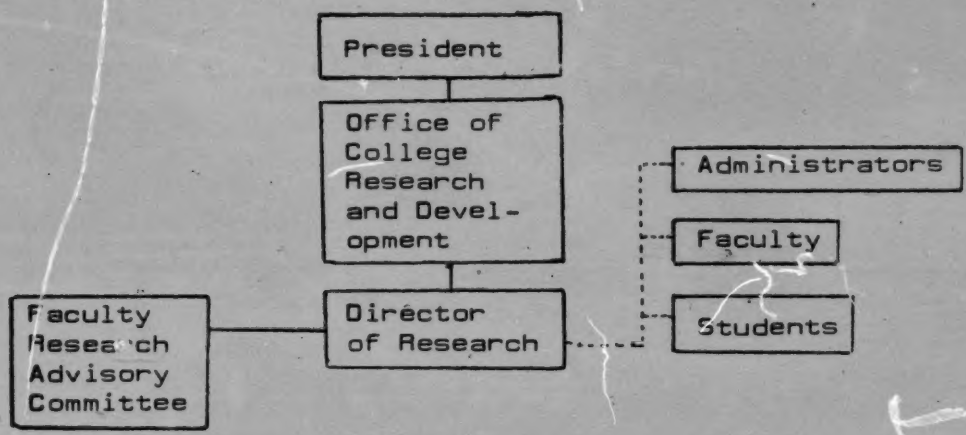
[1] "The University of Tennessee Self-Study."

[2] Ibid.

FIGURE 3: Los Angeles City College, Los Angeles[1]



At Los Angeles City College, the director of research has a line relationship to the chief officer of college research and development, who, in turn, reports to the college president. However, the director also functions in a staff relationship to all parts of the college. Although theoretically any officer of institutional research could hold a line position and also function in a staff position, such a combination is more possible when the superior is the chief officer of planning and development and not the vice president of business affairs or the director of computer and information services. By the very nature of his responsibilities, a planning and development officer himself tends to serve in a staff relationship to all

[1]A description of the governance structure of Los Angeles City College can be found in Ben K. Gold, "Institutional Research at Los Angeles City College," in The Practitioner Views Institutional Research, pp. 36-41.

departments; thus, an officer of institutional research reporting to him could more easily function in such a manner. In many ways, then, the governance structure of Los Angeles City College promises to avoid some of the problems found in the other two models; it has autonomy yet a good line to decision-makers. One additional characteristic of the governance structure of Los Angeles City College is a twelve-member faculty research advisory committee, which will be discussed further below.

Models of Methods to Increase Faculty Involvement:

[1] Maintaining of a professional library of resource materials on institutional research. One of the best examples is found at Moraine Valley Community College. It has a collection of ERIC documents on microfiche exceeding 80,000 and growing at a rate of 1,000 per month. The Office of Institutional Research checks out a portable microfiche reader for use by faculty in their offices. The library also makes available copies of reports sent to government agencies and containing institutional data, multi-media resources on curriculum planning and evaluation and research, library materials on report-writing, catalogs of standardized tests, and a library of all research projects completed by the institution.[1]

[2] Mini-Grants to assist in and encourage institutional research. One of the best examples of such a grant program is

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[1]"Staff Services Available from Office of Research and Evaluation"[report prepared by the Office of Research and Evaluation, Moraine Valley Community College, Palos Hills, Illinois, n.d.]. [Mimeographed.]

found at Governors State University, Park Forest South, Illinois. All faculty, professional staff members, and those students who are sponsored by a faculty member are eligible to submit applications. Projects supported are those designed to improve instruction, to generate new knowledge in a field of study that relates to the university's mission, and to serve the community. These grants cannot be used for general travel, such as travel to professional meetings, but they may be used for travel directly related to the research project. Grants cannot be used for small items or for large equipment needs, and publication costs or the costs of basic research not related to instruction are not given a high priority. All applications must be approved by the appropriate dean or unit head before being submitted to the review committee. The review committee consists of research and innovation coordinators from each college within the university and is chaired by the coordinator of special projects. Factors considered in evaluating proposals are relatedness of the project to instruction and to the other goals of the university; soundness of design, procedure, evaluation, and reporting procedure; and economic efficiency. These grants are used to pay expenses related to the research and do not provide salary for the researcher.[1] However, elsewhere at

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[1]Robert E. Krebs, Coordinator of Special Projects, Research and Innovation: Grants and Contracts Handbook(Park Forest South, Illinois: Governors State University, 1975), pp. 37-42. (Mimeographed.)

Moraine Valley Community College, a similar procedure is used to provide monetary awards to faculty members undertaking and evaluating innovative teaching methods.[1]

[3] Faculty research committees. Two faculty committees designed to encourage faculty research can serve as models. One is at Jersey City State College, which makes recommendations to the president concerning released faculty time for research projects and the monitoring of their progress. It consists of nine full-time faculty members selected by an administrative committee from among faculty nominations based on the criteria of research experience and expertise. Grants are not made for projects used to meet degree requirements. Evaluation of applications is based on the criteria of design, feasibility, the competence of the applicant, and contribution. Progress reports are required.[2]

The other type of faculty committee is probably best represented by the one at Los Angeles City College, which is a twelve-member faculty research advisory committee. It is appointed by the college president to recommend areas needing research and procedures for disseminating research findings, to serve as a resource on research design and procedures, and to encourage faculty to propose and participate in research.

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[1]"Staff Development Program,"[report prepared at Moraine Valley Community College, 1975]. [Mimeographed.]

[2]"Policy Statement re Research Council and Granting of Faculty Time for Research," [Jersey City State College, Jersey City, N.J., n.d.]. [Mimeographed.]

[3]Gold, pp. 35-37.

Models of Policies and Procedures for the Conduct of Institutional Research:

Most institutions have no set of policies or procedures relating to institutional research. However, some guidelines are available. The Southern Association of Colleges and Schools makes the following recommendation:

> Policies relative to research should insure conformity of this activity to the stated purposes of the institution, provide an appropriate balance between research and instruction, and guarantee control of administration of the research by the institution. The investigator's freedom in research, including direction and communication of results, should be preserved.[1]

Evans and Neagley, in Planning and Developing Innovative Community Colleges, recommend the adoption of the following board policy:

> Sponsored Research and Grant Programs: The college recognizes the value of engaging in sponsored research and grant programs, when they are consistent with institutional goals and philosophy. The college encourages all members of the staff to consider participating in such programs as they relate to their own curriculum areas. Ideas for sponsored research and grant programs may originate at any level; however, the President's Office will have the responsibility for coordinating and approving all sponsored programs and will take the leadership in seeking federal, state and private funds to finance these programs. (p. 347)

Governors State University has some policies and procedures relating to grants and research. These require the filing of an informational report if human subjects are to be used in research, provide for official review of all projects

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[1] Standards of the College Delegate Assembly (Atlanta, Georgia: Southern Association of Colleges and Schools, 1974), p. 30.

with outside sponsors, require institutional assurances concerning civil rights and animal care, and include a policy on copyright to protect individual authors/developers and the university.[1]

Montgomery Community College, Rockville, Maryland, has a policy on institutional research which delineates the responsibilities of the director of institutional research in assisting faculty research projects; requires faculty to secure his approval for research which is financed partly or entirely by the college or involves the use of students, college records, or college services and to inform him of the time, cost, and individuals involved in the research; and establishes guidelines for handling research requests and requests for information to be used in research from outside the college.[2]

Although withoutan official policy or set of procedures, Brigham Young University does have guidelines relating to institutional research: the Office of Institutional Research must have permission from the appropriate authorities to release student and financial data; all requests for information must be processed through the research office to assure consistency in reporting;

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[1]Krebs, pp. 26-48.

[2]"Policy on Institutional Research," [Rockville, Maryland: Montgomery College, n.d.]. [Mimeographed.]

and requests for assistance from departments and individuals will be reviewed and priorities established based upon university goals.[1]

Unlike others, the Office of Institutional Research at the U.S. Military Academy at West Point places its primary emphasis almost entirely on the collection of data relating to cadets, admissions, and graduates, and not on research related to facilities or fiscal matters. This office has a set of very specific regulations defining the purposes and responsibilities of the office and its procedures. Many of these procedures and requirements are designed to ensure that all research in the area of students will be coordinated by the office and that there will be no duplication of effort. Others serve to preclude any possible invasion of cadets' privacy, misuse of responses against individuals or groups, and to establish the office as the one channel for the release of information on students so that there will be consistency in the reporting of data and also so that only reports that are well-written and accurate will be released by anyone in the academy. These procedures and regulations also require that all requests, both internal and external, for opinions and data on students be

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[1]"Institutional Research at Brigham Young University," [a report prepared by the Office of Institutional Research, Brigham Young University, Provo, Utah, December, 1975]. [Mimeographed.]

cleared through the office and coordinated by the research advisory committee. Any external requests relating to what could be considered military matters are not allowed.[1]

Institutional Research Currently Being Conducted at Black Hawk College and Deficiences of Such Research--An Administrative View

Another procedure used in this practicum and described in the previous chapter involved interviews of Black Hawk College administrators selected because of their involvement in institutional research of the obvious relationship between their responsibilities and the results of such research.

One area that these interviews involved was a survey of the institutional research currently being conducted at Black Hawk College and an evaluation of its success. Most administrators indicated that the following institutional research was currently being conducted: space utilization studies, fiscal management studies, transfer performance studies, and salary studies. About one-half indicated that enrollment trends and faculty opinion and attitude studies were being conducted. Of the research currently being conducted, most saw fiscal management studies as high priority research. However, most indicated a strong need for research that currently is not being conducted--specifically, the assessment of community needs and attitudes,

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[1]"Regulations, Research and Development," [Department of the Army, Headquarters, United States Military Academcy, West Point, New York, 1974-75]. [Mimeographed.]

last conducted in 1967, and research on enrollment trends, which is basic to fiscal planning. Two administrators--the college president and the vice president for administration and finance--strongly emphasized the need for an assessment of teaching loads because of their important budgetary impact. One administrator--the vice president for academic affairs and the Quad-Cities Campus provost--saw the evaluation of curricula, courses, teachers, and programs as related and very important.

Most administrators interviewed did not believe that any institutional research was being done sufficiently well. Some explained that one reason for this failure is the comparative newness of institutional research to the community college and Black Hawk College's very recent provision for it with its establishing of the position of research analyst. Another administrator interviewed, however, pointed out that the position of vice president for planning was once filled and is now vacant and saw a very serious difficulty in completing institutional research without such a position's being filled.

All saw a basic reason for the institution's failure in research at this time to be the number of requests from external agencies, especially from the state, a situation that has "buried" the research analyst with report work and does not allow him sufficient time to coordinate institutional research.

Several administrators did express optimism that, once the research analyst has secured an adequate and useable centralized data bank and once programming has been designed to handle such reporting, the analyst will be able to handle this reporting function more easily with clerical assistance and then should be able to devote more of his time to coordinating and conducting institutional research.

The research analyst himself cited the following as basic needs in a time priority order: (1) organizing the data base so that it is available at least in summary form, (2) formalizing enrollment trends, (3) conducting community needs assessment, and (4) creating an atmosphere of freedom of inquiry in which problems can surface and objective studies of them can be completed.

In general, all administrators were concerned that the institutional research which is conducted be well-designed and objective. Although they saw the need for institutional research in problem-solving and its potential value, they were all very much aware of present financial limitations that make difficult the financial support of such research to a greater extent than at present. Some were additionally concerned that no provision has been made for implementing the results of present research.

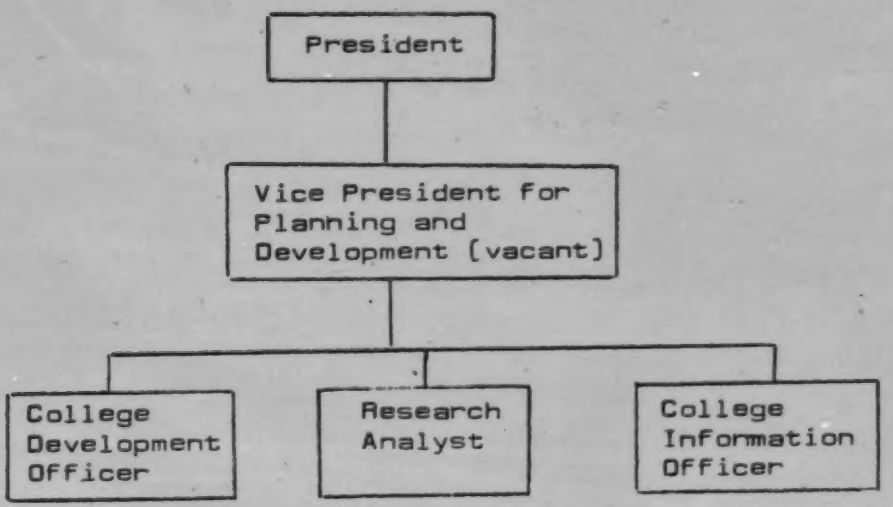
In relation to institutional research by faculty committees, all administrators indicated that there is a strong institutional

commitment to assist such efforts and many cited instances when such assistance has been given. Several stressed the importance of the faculty and the administration working together on salary studies for the Compensation Program Committee. In general, however, administrators were not as aware of or as concerned about inadequacies in efforts by faculty committees to conduct institutional research as some faculty members have been. They do not seem to have followed or to have understood the importance to the faculty of meaningful research, such as that on the effectiveness of instruction, course evaluation, and the question of degree requirements--recent concerns of faculty senate committees. The research analyst expressed his strong wish to be able to work with such committees and assist them.

Suggestions from Administrators To Improve Institutional Research at Black Hawk College

[1] Suggested Changes in Policy and Governance Structure. All administrators saw a general need for the presentation of a short policy statement on institutional research to the board of trustees. Most felt that, if the Board understood the sort of results that can come from institutional research being used in planning and if the policy were accompanied by a "price tag" that the Board felt the institution could afford, that it was likely that such a policy would be approved for the Board Policy Manual. One administrator did indicate a reservation in relation to this policy if it were to be too specific.

FIGURE 4: Current Governance Structure at Black Hawk College Providing for Institutional Research



As Figure 4, just above, shows, the office of vice president for planning and development is vacant, thereby creating a situation in which the college development officer, the research analyst, and the college information officer all report directly to the college president. Many administrators felt that, in the absence of a vice president for planning, the research analyst should coordinate institutional research activities. The college development officer and the research analyst both saw some difficulties in this approach, however.

Because the position of research analyst is a comparatively new one and because demands upon the college president's time do not allow him the opportunity for close supervision, the research analyst has tended to look to the college development officer for direction as he has grown in his job, and, as a result, they both have developed an informal arrangement in which they work in cooperation, something that the college president indicated in his interview should occur in his conception. Still, both expressed concern in interviews that such an arrangement might be too informal.

Several administrators, including the research analyst, mentioned a need to review the description of the position of research analyst, which currently makes him responsible for too many functions.

The research analyst characterized his position as it was developing as being primarily one with a staff function. He expressed his hope to work into the formal governance structure in time by membership on committees relating to his function, such as the Instructional Research Committee and the Computer Utilization Committee, to which he has just been appointed. He indicated problems resulting from his difficulties in centralizing all data, especially personnel data, although he recognized advantages to keeping such data in its present location, in the offices of deans and the director of personnel. He also indicated an important need to achieve consistency of

reporting by establishing an official set of institutional statistics, assuring that it is current, and then determining one office, such as his own, to release all such official data. He would like to function as a coordinator of institutional research, assisting those doing research, and he suggested that a more descriptive title for his position might be "Coordinator of Institutional Research."

All administrators see the need for a research advisory committee. Some seem to be confused about the committee charge and the activities of the Instructional Research Committee. All agree that its activities seem to have benefited the college, but most would prefer to set up a separate research advisory committee rather than trying to build one from the Instructional Research Committee, which has actually been primarily involved in sponsoring the development of teaching materials and the encouragement of teaching innovations rather than in sponsoring instructional research. One administrator suggested the possibility of establishing a district-wide "super-committee" composed of the most effective members of the Instructional Research Committee and establishing sub-committees under it for faculty development, faculty research, and other functions that might come up from time to time and might be served by ad hoc sub-committees.

The research analyst has already recommended a research advisory committee, composed of representatives of all sectors

of the college and including representatives of the community, to approve institutional research projects, to determine priorities and the allocation of available resources for institutional research and to provide coordination of such research. He sees the need for this committee's having a budget for clerical help, printing, and postage from which it could allocate support of projects that it has approved but that do not have funding.

Policies and Procedures To Encourage Faculty To Complete Institutional Research

All administrators interviewed agreed that faculty members had abilities that would prepare them to complete almost any type of institutional research and that there were some types of such research that the faculty would best complete and others in which they should have input. In general, administrators believed that faculty could research the effectiveness of teaching methodologies and of curricula, courses, and programs, but they emphasized that such research must be objective and well-designed. A majority of administrators also felt that research relating to faculty opinions and attitudes and the assessment of teaching loads would probably be best accepted if it were conducted by the faculty; however, in relation to teaching loads, they indicated that the research probably should be a joint effort of administrators and faculty because of its importance and of the difficulty of achieving objectivity in

this area. They saw the need for faculty input in space utilization studies, especially in relation to how best to use an available room, and into research aimed at assessing community and student needs and attitudes. They explained that the faculty now has some input into fiscal management studies through the Resource Allocation Committee, and they indicated that they assumed salary studies would continue to be completed by both faculty and administrators, although ideally they would be completed by them as a joint effort. Most felt that transfer performance studies should continue to be completed by the director of academic and transfer advisement.

Most administrators agreed that probably the best way to encourage faculty to engage in institutional research is by rewarding them with money or recognition. Some mentioned the possibility of mini-grants to faculty completing approved research projects or other forms of extra compensation. Most felt that recognition could come from the use of successfully completed institutional research as one criteria for promotion in academic rank but were careful to emphasize that no one should be denied promotion because of his failure to do such research. Another method of recognition mentioned was a description of completed research in a newsletter distributed internally on a regular basis, like Heuristics, which is issued by William Rainey Harper College, Palatine, Illinois. The college president saw faculty-conducted institutional research as an important part of the self-renewing process that he believes should be

provided for and encouraged within the college, and the research analyst felt that one of the best encouragements was for the faculty to see the completion of one successful study that results in some significant change.

Facilities That Could Be Made Available to Faculty and Administrators Conducting Institutional Research

Most administrators saw no difficulty in allowing faculty and administrators access to the data bank providing that certain types of confidential information were not misused and that some confidential information were adequately protected. The research analyst has listed as a management objective for the year the maintaining of a "College Profile Book," which would provide summary statistics. Most explained that computer hardware was adequate to provide computer time for staff use, especially on the third shift when it is established, but some saw a real problem in providing faculty with programming because of a lack of personnel. Currently, requests requiring more than eight hours of programming time to complete must be approved on a priority basis by the Computer Utilization Committee. The research analyst explained that many programs for use in instructional research had already been completed by one faculty member, who wishes to share them, but that they have to be made more available. Most administrators interviewed felt that a college clearinghouse on research should be established and could be done at little cost and that the findings of institutional research

should be published for internal distribution. The research analyst has as an objective for this year the distribution of a quarterly newsletter. Many saw difficulties in providing clerical assistance because of the college's financial situation, but many believed that the research advisory committee might be able to screen projects and make grants to some to cover the cost of clerical assistance and also of printing. The research analyst also mentioned postage as an additional cost that might be budgeted for. Most administrators indicated no difficulty in continuing the practice of granting released time to one faculty member to assist the faculty and administration in statistical studies and computer use. Most administrators did not react favorably to granting faculty and administrators released time to conduct research because of the cost, but two mentioned that, under the new faculty load system, it was possible for a department to build such released time into a member's schedule if it wished to do so.

One of the most controversial facilities that administrators were asked to comment on was the establishment of a professional library and reading room. A general concern was with the lack of available space. Some felt that use of the library's Special Collections Room, when it was not scheduled for meetings, was a possibility, but one high-level administrator saw no need for such a room and did not feel that this room should be used in such a way. Others saw difficulty in purchasing books, microfiche and other materials for such a collection from the library

book budget, which is already inadequate. One administrator suggested that books relating to institutional research and useful for it which are currently in administrator's offices on permanent check-out from the library could be placed in such a reading room or collection along with books sent to the college library by Nova University for its cluster at Black Hawk College, and that, in this way, these books possibly would be used by more people and there would be little cost in such a method to the college. The research analyst explained that he has a budget for ERIC documents on microfiche, all of which he wants to order at one time for this year, and he believes that these could be best selected by a research advisory committee. He sees a professional library and reading room as a very worthwhile facility, especially for the storage of ERIC microfiche and copies of institutional research already completed within the college. Ideally, he believes that there should be an account in the library book budget for the purchase of these materials.

A Description and Analysis of the Current Internal Organization of Black Hawk College that Governs Research

Another procedure of this practicum explained in the previous chapter involved a study of documents within the institution in order to determine the way in which institutional research was currently conducted. The results of this procedure follow.

Black Hawk College is at present without a research policy that coordinates staff, facilities, budget, and research objectives to produce consistently high quality institutiona research. The college, however, has taken important steps in that direc-

tion. In 1973, a research analyst was hired to coordinate and facilitate research. A new vice president for planning was to be hired the following year to complete the administrative structure necessary for research and planning. In the last two years, the administration and many faculty have also become acutely aware of the need for better research, especially in areas of faculty work-load, program and curriculum needs, course proliferation and community attitudes and requirements. Despite these developments, which illustrate the direction of the institution, the present governance structure of the college creates many obstacles to better institutional research. These obstacles are not removed by hiring a research analyst or changing faculty and staff attitudes toward research. These changes require probing into the basic way in which the college functions--i.e., into its governance structure.

The basic problems of the governance structure are readily apparent in some recent efforts at institutional research by the faculty--its studies of the faculty work-load policy. In 1974, a new work-load policy, agreed upon by the board, the faculty, and the administration went into effect for a trial period. Final decisions on that policy were to be delayed until the faculty and administration had had an opportunity to observe the effects of the new policy. Since the work-load system determines the primary working conditions of the faculty and, consequently, has considerable economic importance, both faculty and administration were interested in the effects of the policy. In the

last semester of 1974-75, the Senate Committee "W" surveyed the extent of departmental compliance with the new policy, but it was pre ature to evaluate the policy, which had been in effect only one semester. During 1975-76, the committee again surveyed the faculty, trying to determine not only compliance but faculty attitudes toward practices that had evolved from the new policy. After compiling responses to its study, the committee concluded that its research was inconclusive.

The study on work load, so important to the institution, is a good example of why faculty institutional research is so often inadequate for decision-making. First of all, there were no instructions to Committee "W" from the Senate or the administration about the objectives of the study. Consequently, the committee studied only compliance and faculty attitudes. The overall design of the committee's study was too limited to provide a wide perspective of the effects of the new policy. Secondly, the committee was not acquainted with the source of pertinent data available or needed. The committee could have, for instance, requested each department's guidelines on how it had implemented the policy. These guidelines were specified in the policy and should be available for comparison. Comparing this data would help the committee to determine whether gross inconsistencies have developed in implementing the policy. Moreover, a comparison of actual faculty loads over the last three years, available from the deans, would increase the concrete data for the committee to consider. Data on the relation of part-time and full-time faculty employed under the new load system would also be relevant since the new policy is considerably more flexible than the old one in

determining assignments. These and other approaches could have been taken to increase the data base from which a more comprehensive point of view could develop regarding the effect of the new policy.

The striking fact about the study was that it was not an institutional effort. It was the effort of a Senate committee working to a large degree in isolation. The objectives of the study and the kind of data and instruments needed were not clearly formulated and coordinated by Senate and administration. The failure was not due to the committee but rather to the entire process of doing research. Eventually, the Senate will direct that another study be done; and eventually the administration will assay its efforts and start compiling its own data. The wasted time and effort due to these uncoordinated movements result in faculty members' being skeptical about the usefulness of their efforts and about the importance of institutional research.

The failures of institutional research of the sort that can be seen in the example given just above, are, in part, the result of a failure of the governance structure. Basically, control over research is exercised in three areas of the governance structure--one related to the Resource Allocation Committee, another to the role of the research analyst, and the last to the Senate and its committees. Weaknesses at all points within this internal governanance structure can be demonstrated.

Presently the Resource Allocation Committee (hereafter RAC) has as its purpose the allocation of the college's resources through the yearly budget-building process. All budget managers submit their objectives and their resource needs to the committee, who determines the level of funding the managers will receive in the coming year. The committee is district-wide, composed of the President, the Vice President for Finance, the Provosts, and the Senate chairmen of each Campus.

The work of the committee was not intended to be limited to budget items. According to the April 10, 1975, memorandum from the President, the RAC recommends "institutional objectives and priorities for the instructional program," and directs that "analytical studies" be conducted to support the recommendation of the committee. In actuality this task has never been completed by the RAC. Instead, only after the RAC work is concluded are the institutional objectives formulated--and not by the RAC, a committee that has district-wide representation, but by the administration alone.

The lack of coordination begins at this point. No doubt the massive task of the RAC necessitates some lapses here and there. Still, it is important to see clearly what happens as a result of this lapse. In July or September, the Faculty Senate chairmen, along with the budget managers, receive a copy of the institution's objectives--including the objectives in the area of instruction. In the memorandum of July 19, 1973, the

instructional objectives covered eight major areas, four of which were the following: (1) to develop a new work-load policy, (2) to develop a performance appraisal system, (3) to review the tenure policy, and (4) to revise the academic rank policy. At this point in the process, difficulties begin to emerge. To illustrate some of these problems, a part of this study included interviewing past Senate chairmen, the individuals who must next act upon the objectives.

One basic problem pointed out by the chairmen is the broad scope of the instructional objectives. The objective of reviewing the tenure policy, for instance, gives the Senate chairmen little guidance about the actual scope or purpose of the study. Which parts of the policy need review? Or which parts of the policy are the Board or Administration most concerned about? Is the policy under attack or is the concept of tenure itself the problem? Without a description of the purpose or the objectives of the study, the study itself is off to an undeterminate and uncertain future. The time, quality, and effectiveness of the research may already be in jeopardy.

Another problem suggested by the chairmen is that they are uncertain about their own responsibilities for accomplishing the institutional objectives. This is especially confusing since there are two campuses and two Senate chairmen and eight objectives. Are the objectives divided between the two chairmen? Is one problem better handled at the East Campus or at the Quad-

Cities Campus? These questions are not answered by present procedures. Part of the difficulty may be the administration's reluctance to develop procedures that infringe upon the faculty's prerogatives. Whatever the reason, the result is confusion--confusion that may lead to the research or review undertaken by the Senate committee being eventually discarded by the Board because both Senates were not involved. The Board has twice taken this action in response to Senate reports in the last two years. Obviously, responsibility for research needs to be more sharply defined.

Sometimes the Senate chairmen are uncertain about how to execute their responsibilities. Do they give the Senate committees instructions when they pass along to them the objectives? If they do, on what basis? Will their instructions reflect the administration's concerns? Should they? Can the Senate committee, charged with completing the research, conduct a study satisfactorily for the Senate, the administration, or the Board without clear instructions? These questions go unanswered in the present governance structure, in which there is ambiguity not only about who is responsible but about how responsibilities can be executed.

The fourth problem is the ambiguity that the chairmen have about their own role in the governance structure. Are they obligated to follow through with objectives that they have had no formal role in developing? What about their own objectives,

which they sometimes feel are as important as or more important than the ones established by the administration? Is it their role to simply accept the institutional objectives formulated by the administration as their own? Again, the present governance structure creates unnecessary tension and conflict.

Another aspect of internal governance that creates difficulty relates to the position of the research analyst. According to the present governance structure, the research analyst reports to the vice president for planning and development. Since this position has not been filled, the research analyst reports directly to the president, though in actuality he works with the college development officer and often reports through him to the president. In the present structure, the research analyst's position is a staff position, though he has line responsibilities for reporting to external agencies.

The primary concern should not be, however, whether he has a line or a staff position: the confusion emerges in examining his relationship to institutional research. Currently, he has one of the longest position descriptions at the college. He is supposed to "initiate" studies of enrollment trends and student characteristics, attrition and graduate follow-up studies, studies of faculty working conditions and the duplication of courses; he must also monitor the "implementation and assessment of the effectiveness of new programs." These are only a few of his responsibilities. The interesting point is that many of these studies cannot be initiated or conducted without faculty participation in determining the objectives, the design, and the applicability of the studies. Moreover, some of these

responsibilities infringe upon the role of the Senates. The confusion centers on whether the role of the research analyst is to coordinate and assist the faculty and staff in doing research or to conduct the research himself.

The research analyst's position needs to be clarified in another way. In the section on "principal relationships" in his position description, one obvious ingredient is missing--his relation to the faculty. The confusion, then, is two-fold: he is expected to initiate studies in some areas that he cannot possibly investigate without faculty input into the stating of objectives, the design of the instruments, and the assessment of results, and he is expected to achieve these objectives without any formal relationship to the faculty.

As has already been pointed out, this present situation is not without its reasons. Much of the research analyst's time is being spent developing computerized programs to meet the voluminous reporting requirements of external agencies. But the literature on institutional research points out that this is one of the chief dangers confronting officers in charge of institutional research. Too often, they simply become another administrator and never perform their primary task. Eventually, the research analyst at Black Hawk College should be spending more of his time coordinating and assisting in genuine institutional research.

Although many kinds of instructional research are routinely done by administrative staff members, the literature of instruc-

tional research singles out the faculty as a rich, unused resource. For the most part, detailed studies on the programs, objectives, and accomplishments of the college cannot be performed or properly assessed without faculty involvement. Involving the faculty in instruction research is, however, no simple matter. Sometimes faculty members feel that research interferes with time which should properly be spent on teaching. Faculty members also come from such diverse educational specialties that they are not all equally prepared for doing research. Most have little experience doing actual research design and assessment. Many are asked to sign up for committee assignments without knowledge of what the committee will be involved in. Their interests and the work of the committees often do not coincide. Faculty schedules are often so overlapping that committees cannot find time to meet. The tendency is for one or more of the above factors to interfere with the ability of the faculty to do good institutional research. Add to these the confusion that comes when a committee is given a verbal assignment without clear instructions or objectives, and the "poor performance" of the faculty is almost assured. Perhaps this is why Black Hawk College administrators appraise the situation hesitantly, when they say that the faculty has the ability to complete institutional research and can do it but it has to be well-designed and objective. At present, such research by the faculty is sporadic at best.

SUMMARY:

The results of the procedures undertaken in this practicum may be summarized as follows:

There are three basic governance structure models for accomodating institutional research: the one in which the chief officer of institutional research has a line relationship to an immediate supervisor; the one in which the chief officer of institutional research maintains a staff relationship to all other parts of the governance structure; and the one in which the director of research has a line relationship to the chief administration officer of college research and development, who, in turn, reports to the college president, and he also maintains a staff relationship to other parts of the governance structure.

There are a number of ways to increase faculty participation in institutional research. These include maintaining a professional library, establishing mini-grants, and providing for faculty participation through an advisory research committee.

Most institutions have no set of policies or procedures that relate to institutional research. However, those that do exist serve to provide recognition by the governing board of the value of institutional research; provide guarantees for the subjects of such research; establish priorities on the chief officer's time and provide a basis for his coordination of research, including assuring consistency in institutional reporting.

In the view of key administrators at Black Hawk College, the College's institutional research could be significantly improved. These administrators saw as a primary reason for

Black Hawk College's poor performance the amount of time required to complete requests for information from outside agencies. All administrators indicated that there was a strong institutional commitment to such research, however, and did believe that the faculty possessed abilities that could be used in such research.

These administrators saw a general need for the presentation of a short policy statement on institutional research to the board of trustees, who they thought would approve such a statement if they felt that the institution could afford the cost of such commitments to research.

Many administrators felt that, in the absence of a vice president of planning, the research analyst should coordinate institutional research, but they indicated that his position description should be revised. All administrators saw the need for a research advisory committee.

In relation to the methods to encourage more faculty participation in institutional research, most administrators agree that probably the best methods would be by money and recognition, including mini-grants, consideration of research as one of the criteria for promotion in academic rank, and recognition in a newsletter prepared for internal circulation. Most administrators also wished to make available to the faculty the facilities that they would need to conduct institutional research, including access to data, computer time, a faculty advisor on statistics, and a professional library.

In terms of the internal governance structure and policies and procedures that currently exist in relation to institutional research, Black Hawk College is without a developed method of assuring the coordination and improvement of institutional research. The board has not recognized institutional research by an official board policy stand; the position of vice president for planning and development is vacant; the research analyst has too many duties to allow time to coordinate and assist research; procedures and policies do not exist to assure consistency in reporting and the protection of individuals who are the subjects of research or to monitor the quality of institutional research; and the faculty does not understand, in general, how to complete such research or its purposes.

A failure of the faculty senates on both campuses to be able to coordinate and develop mutual goals with the administration and to communicate them clearly to those responsible for their implementation is a key to explaining the poor quality o research undertaken by faculty committees at Black Hawk College. Moreover, until there is better coordination and communication between the senates and the administration, the quality of institutional research is unlikely to improve. Basic changes in the present governance structure and the establishment of clear policy and procedures are necessary.

Thus, the procedures employed in this study suggest a strong need for the improvement of institutional research and the methods to accomplish such improvement.

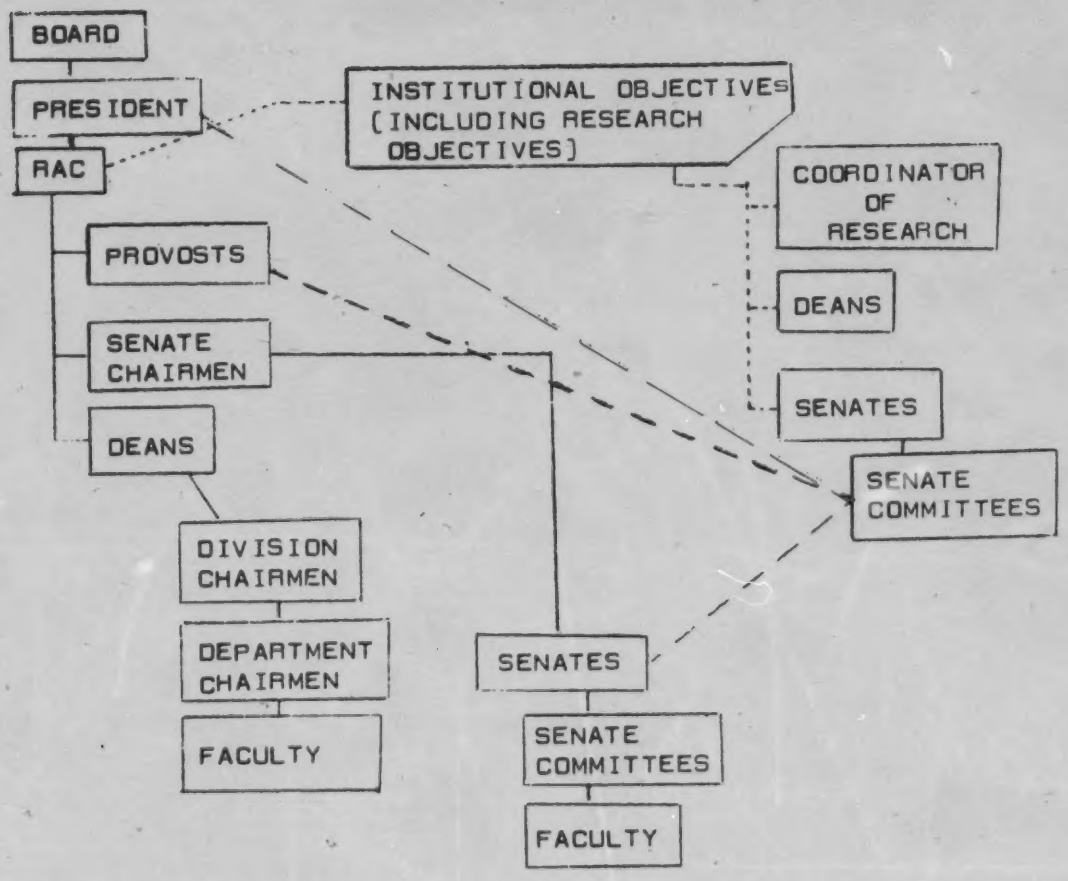
CHAPTER 5: DISCUSSION, IMPLICATIONS, AND RECOMMENDATIONS

Based upon the findings reported in Chapter 4, this practicum will attempt to make recommendations that will result in an improvement in the quality and the amount of institutional research completed within Black Hawk College and used as a basis for institutional decision-making without any significant increase in the cost of such research to the college. These recommendations will be of three types: recommendations for changes in the governance structure in order to provide better for research, recommendations for changes in or additions to existing policy and procedures, and, finally, a recommended statement of policy and procedures to improve and encourage institutional research that will reflect both the findings of this research and the recommendations included in the two earlier sections of this chapter.

Recommended Changes in the Governance Structure

Perhaps the most urgent task is to improve the governance structure of Black Hawk College as it affects institutional research. Figure 5, on the next page, is designed to make

FIGURE 5: FLOWCHART DESCRIBING PROPOSED PROCESS FOR THE DEVELOPMENT AND IMPLEMENTATION OF INSTITUTIONAL OBJECTIVES AT BLACK HAWK COLLEGE



the process coherent, both in the development of and the implementation of institutional objectives, especially as they relate to research. It provides for the development of research objectives as a college-wide process. Since all budget managers, staff and faculty have input into the Resource Allocation Committee, the solid line shows how these objectives can originate from faculty or staff and can be communication to the RAC. This is consistent with the management by objectives procedures now followed in RAC meetings. The only change is that the RAC will actually be charged with developing of the institutional objectives. This is a first step toward making research an institutional effort.

This chart also resolves the problem of responsibility. It illustrates that, once the objectives are formulated, they are formally communicated by the RAC to those responsible [see dotted lines]. This arrangement will, in effect, formalize the process of determining who is responsible for accomplishing the objectives. It will clarify whether the problems are to be resolved on a district-wide basis by a district committee, by a particular senate and its committees, by the research analyst, or by the deans. The advantage of this process is that the RAC will have to clarify its research objectives and directly communicate with those responsible. Moreover, the Senate chairmen on the RAC will be able to determine the scope of the

study and insist on clear directions while working with the RAC. Overall, clarifying the lines of responsibility should ensure that coordination extends from the RAC to those responsible for conducting research.

The reporting system (long broken lines) would remain unchanged, except that all senate committees that are doing research will report not only to the Faculty Senate but also the the Faculty Advisory Committee and the Coordinator of Research.

Recommendations: (1) Institutional research objectives should be formulated through the RAC, a college-wide forum in which both faculty and administrative have representation. This recommending will be a first step toward the coordination and involvement necessary for good institutional research. (2) Those responsible for conducting institutional research should be designated by the RAC and implementation should take place along the lines suggested in Figure 5. This recommendation is intended to diminish the present confusion and to establish clear lines of responsibility. (3) The instructional research objectives sent to those responsible for implementation should be accompanied by a statement from the RAC about the purpose and scope of each study along with appropriate instructions. This recommendation should enable faculty committeesto improve the design of their studies and to assess the completeness of their work. (4) While research should be a college-wide coordinate

effort, as often as possible, research should not be restricted to the objectives developed by the RAC. The institution must not seek to limit all individual and group initiative to the overall structure of the college. The formulation of institutional objectives is only a process for setting priorities for the entire college. Individual groups within the college, such as the senates and the executive council, will wish to pursue other research that relates to fulfilling their responsibilities.

In many ways the RAC is the central focus of good institutional research. Some central college committee must determine the priorities of research and communicate these objectives to those reponsible; and this committee must represent both faculty and staff on both the East Campus and the Quad-Cities Campus. The recommendations above result from a recognition of these needs.

FIGURE 6: THE COORDINATOR OF RESEARCH IN THE PROPOSED GOVERNANCE STRUCTURE RELATING TO INSTITUTIONAL RESEARCH AT BLACK HAWK COLLEGE

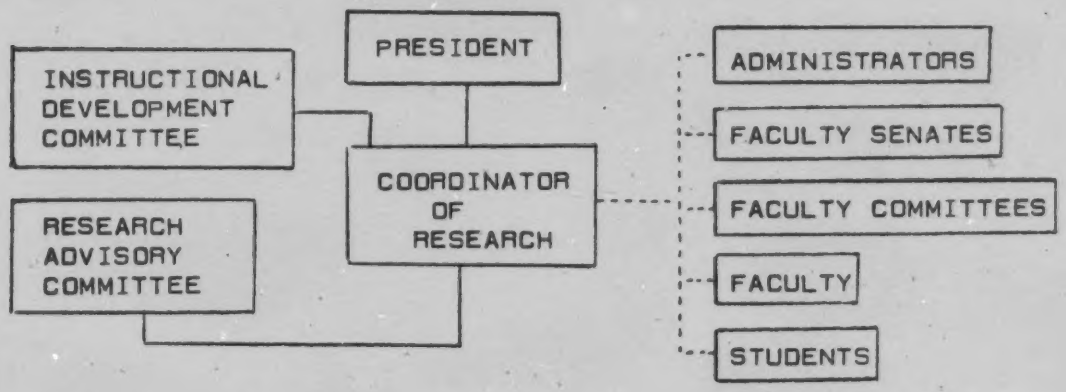


Figure 6 removes some of the confusion in the present position description of the research analyst. Later recommendations will clarify his role still farther.

This chart, based upon the Los Angeles Community College model, combines staff and line responsibilities for the coordinator of research. Since he has specific reporting responsibilities and yet serves individuals in various capacities through the institution, he has both line and staff functions.

In Figure 6, the research analyst's title has been changed to coordinator of research--a title which has been suggested by the research analyst at Black Hawk College. This change indicates that his primary focus should be institutional research, in which he (1) coordinates research, (2) analyses and assesses the relationship of research to the institution, (3) communicates

the results throughout the institutions, and [4] gives technical assistance to those making research studies. The position of coordinator of research in Figure 6 indicates, in part, these primary responsibilities.

Figure 6 shows that the coordinator continues to report directly to the president. He can assume his wide range of working relationships only if he is not limited to working under the vice president of finance, or the college development officer, or some other individual with line responsibilities. Obviously, sometimes, he may have to devote himself to a limited number of tasks under their direction, but, in the long view, he can fulfill his major responsibilities only if he reports directly to the college president in a staff position.

Figure 6 also indicates that the coordinator may assist other administrators, faculty, and students as time permits. A serious effort must be made to allow the coordinator to apportion his time so that all groups, at least to some degree, will be served.

In Figure 6, the coordinator also has a formal relationship to two committees designed to improve and evaluate the instructional program--the Instructional Development Committee and the Research Advisory Committee. This change allows him to have input into the committees as well as to coordinate research. Through these committees he can encourage and assist faculty research.

Recommendations: [1] The first recommendation is that the title of research analyst should be changed to coordinator

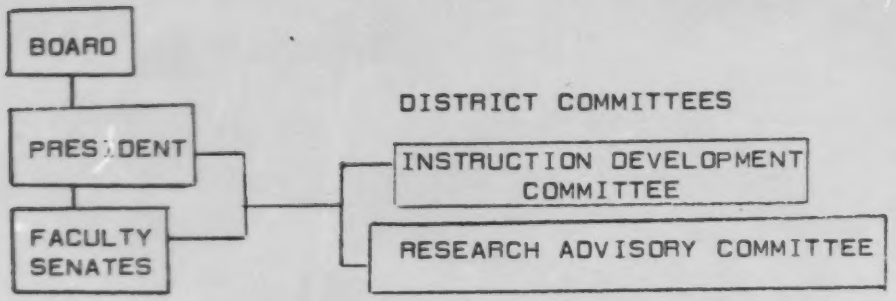
of research, and, as soon as possible, he should take up the broader responsibilities of conducting institutional research. His responsibilities will basically be to coordinate institutional research, analyze the relevance of research to the institution's decision-making process, communicate the results throughout the institution, and assist those making research studies. (2) The second recommendation is that the coordinator of research should formulate and present to the RAC his priorities for institutional research. These priorities should not be restricted to his own personal objectives as coordinator. (3) A third recommendation is that a new "position description" detailing the coordinator of research's principle working relationship and his reporting responsibilites should be developed. Figure 6 is recommended because it combines his line and staff roles as well as his relationships with faculty and students. (4) The fourth recommendation is that the coordinator spend approximately 25 percent of his time facilitating, assisting, and directing research in instructional-related areas, 25 percent on institutional research other than instructional, and 50 percent on reporting activities. (5) The coordinator should maintain a masterfile of all institutional research studies, as well as pertinent studies from other institutions. He should, in his capacity as coordinator, provide a central repository for all research. The coordinator will be responsible for ordering materials within his budgetary limitations to complement the college efforts at improving the quality of research. The

coordinator will also oversee the development of the research library to be discussed below. (6) The coordinator should approve all faculty or student research, financed partially or entirely by the college, if such research involves the use of students, college records, or college services. Some one at the college must be responsible for knowing about research currently being conducted on campus, regardless of its source. We must assure that college policy guidelines regarding such research are being met. This kind of control is especially important in preventing poorly designed research by faculty or students from taking place without the knowledge of the officers of the institution and without the subjects of such research being fully cognizant of how the study results will be used and in avoiding any invasion upon the subjects' right to privacy. (See description and recommendations on the protection of human subjects below.) (7) Research being done by faculty but not requiring college expenditures or records should also be reported to the coordinator so that an accurate record of research by members of the institution can be maintained. The faculty members can inform the coordinator by letter of his work and of any potential ramification such research may have upon the institution.

Overall, the coordinator of research is one of the keys to better institutional research. His expertise, his coordination, his control, and his assistance will improve the entire process. As the individual best acquainted with the college's research efforts and problems, he has a large responsibility in

assisting the Research Advisory Committee in developing its objectives. He also is best able to give faculty research efforts the continuity that they need if their quality and quantity are to improve. As the one responsible for coordinating research, he is the key to saving both time and money otherwise expended in duplicated efforts and inadequate quality control.

FIGURE 7: COMMITTEES IN THE PROPOSED GOVERNANCE STRUCTURE RELATING TO INSTITUTIONAL RESEARCH AT BLACK HAWK COLLEGE



As shown in Figure 7, the Instructional Research Committee would change its name to the Instructional Development Committee--a change that the committee has already considered in its recent request to be renamed the Instructional Research and Development Committee. The Instructional Development Committee would limit its purpose to encouraging the development and refinement of new modes of instruction. The committee would continue as a

district-wide committee reporting to both the president and the faculty senates.

The basic change presented in Figure 7 involves the creation of a new college-wide standing committee--the Research Advisory Committee. The research analyst has voiced his interest in creating such a committee to enable him to communicate with and assist the faculty. The literature on institutional research, already cited, also suggests the need for such a committee. Overall, the purpose of the committee would be to improve the quality of faculty research. The committee has to be carefully developed to achieve that objective.

This Research Advisory Committee must develop along the lines in the following recommendations to achieve its purpose of encouraging research.

Recommendations: (1) The committee will be responsible for formulating priorities for institutional research, which it will submit to the faculty senates and the president. The Research Advisory Committee may be one of the most important sources of faculty input into the processes of formulating institutional research objectives. The committee, however, has no authority to speak for the faculty, the Senate's function, or the administration, the President's function. It has an advisory role only. (2) The committee should seek to encourage research by a program of in-service training. One of the best examples of such a program is the use of a semi-annual faculty

publication called Heuristics, at William Rainey Harper College. The committee may do well to look into Harper's program and also the one at Moraine Valley Community College to find ways to institute such an in-service training program. [2] The committee should also encourage faculty participation in research by means of mini-grants of less than one thousand dollars each. The committee will be charged with screening applications for such grants and awarding the grants on the basis of their objectives, their quality of design, and their relevance to the college's mission. [3] The committee will recommend the purchase of material relevant to research to the coordinator of research. The coordinator has suggested such an arrangement, which will involve the Research Advisory Committee more deeply in the problems of research. [4] The committee will review the design and procedure for institutional research by faculty to ensure the quality of the studies. The committee should not act as a censor of studies, but it should review and critique the studies with the objective of assisting the individual or committee in improving the research. [5] The Research Advisory Committee should consist of the coordinator of research, the college development office, the faculty chairman of the Instructional Development Committee, and five other faculty members recommended by the chairmen of the faculty senates and approved by the college president. The committee would be district-wide, with at least two members representing the East Campus. [6] Faculty members chosen for this committee should have a genuine interest in

research, some knowledge of its technique, and preferrably a wide knowledge of the institution. For this reason, membership should be weighted toward the upper academic ranks. The continuity of the committee is important as well and should be considered in the selection of members. For this reason, membership should be for two to three years, and no more than one-third of the individuals on the committee should be replaced in any one year.

The basic changes recommended in the governance structure and discussed above are designed to increase faculty involvement while improving the coordination of institutional research at all levels. Changes in the RAC will directly encourage faculty research by clarifying the objectives and scope of faculty research while increasing the importance to the institution of such research. Changes in the role of the research analyst will encourage faculty research by increasing his availability and assistance in the design and assessment of research. The creation of the Research Advisory Committee will directly involve the faculty in encouraging, assisting, receiving, and assessing faculty research.

Recommended Changes in or Additions to Policy and Procedures

Recommended changes in and additions to existing policy and procedures are of four types: those designed to increase faculty participation, those relating to budgeting for institutional research, those designed to protect human subjects that are used in research, and those designed to assure the quality of research.

As was demonstrated in Chapter 4, the present Black Hawk College faculty does not participate in successful institutional research, especially in relation to the assigned charges of faculty senate committees, and it seems to lack the incentive and the knowledge to do so. As was explained in Chapters 2 and 3, however, if Black Hawk College is to be able to complete the research that it needs for decision-making without any significant increase in the present cost of institutional research, it is necessary that it develop means to involve faculty in needed institutional research and ensure that such research is completed successfully. The next group of recommendations attempt to accomplish these ends.

Recommendations: (1) Mini-grants of less than $1,000 be established to encourage faculty research in instructional areas. The grants and the procedures providing for the grants will be the responsibility of the Research Advisory Committee. (2) A research library to facilitate faculty involvement and knowledge be established. Financial support for the library is limited, and administrators have pointed out that the resources will not likely be available. The development of the library can be successful, however, at minimum cost if these guidelines are followed. First of all, limit budget purchases to the present budget so that new funds will be unnecessary. Second, have the Research Advisory Committee and the Coordinator of Research select only the most useful and economical materials,

especially ones on microfiche. Third, secure the central location of the research library in the LRC on the Quad-Cities Campus, something that the LRC Director has already agreed to. Fourth, inform the faculty senates and staff of the availability of these materials. Fifth, request the centralization of journals, books, and magazines pertinent to institutional research in the research library. In many cases journals are paid for by the college but are used by only a limited number of staff members. These journals should be forwarded by staff members to the LRC for inclusion in the research library. And, finally, place all Nova materials eventually in the research library. All of these guidelines will serve to develop a research library without any significant further expenditure.

(3) Recognition of research as one of the criteria used for promotion in academic rank. Teaching ability, committee work, and community service are now considered by the promotion review committee. Research resulting in direct benefit to the college should also be included and recognized as being more than what is usually expected of faculty in their teaching, committee, and community work. Good research can partially be recognized through the promotion review process.

These methods--mini-grants, a research library, and a change in the criteria for promotion in academic rank--will serve to encourage the faculty to participate in institutional research. However, it is also necessary to consider those changes and additions in policy and procedures that relate to financial support of institutional research.

Some actual financial outlays to encourage and improve faculty institutional research can be justified. They will serve to redirect the faculty and encourage them to participate in the renewing process of researching their present activities and emergent needs. The present budgetary restraints, however, suggest two limitations: changes to improve research must not result in the expenditure of "new" money, and the money spent must benefit the institution significantly. With these limitations as a guide, the following recommendations have been developed.

Recommendations: (1) The Instructional Research Committee budget, currently $18,000 annually, should be divided equally between the Instructional Development Committee and the Research Advisory Committee. The Instructional Development Committee, though originally intended to sponsor research of teaching methodology and needs as well as instructional development, has limited itself to the development of instruction. The $18,000 currently allocated annually to the Instructional Research Committee can be reapportioned in order to balance the need for developing instruction and encouraging research. (2) The Resource Allocation Committee, when it seems appropriate, can fund some research efforts that may not be part of the "usual" work of the institution. Research projects, if they get this far in the governance structure, will simply have to compete with other college needs. Many forms of institutional research such as space utilization studies, fiscal management studies,

veterans performance studies, and salary studies are the normal work of the institution and should require no special budgeting procedures. Other institutional studies such as those on the quality of teaching, teaching loads, and program evaluation also fall under the "normal" work load of the faculty committees and usually need no special budgeting. Other types of institutional research, however, are not a part of such normal work load and will need special funding. (3) The Research Advisory Committee should work within the following guidelines. First, a need for computer programming that exceeds eight hours should be communicated to the Computer Utilization Committee for its approval. Second, the committee should expend its money on a priority basis, particularly on the studies which most benefit the institution and improve the climate for research. And, finally, the committee, when possible, may compensate approved research projects for such incidental expenses as postage and clerical help for the completion of research. (4) The Research Advisory Committee should not attempt to finance the publication of a semi-annual faculty research publication without additional funding from the Resource Allocation Committee. At present, it must be recognized that the Research Advisory Committee must limit its expenditures in terms of its budget.

Next, it is necessary that policy and procedure recognize the importance of the protection of human subjects in research.

There is increasing concern in the academic community that the rights of individuals be protected in circumstances involving experiments and/or questionnaires. One problem has been to protect individuals from deception by an experimenter or interviewer. Although deception is not actually prohibited, any experimenter using deception is required to "debrief" the subjects, making it clear to them the deception used as well as the reason for that deception. Another requirement is that steps are taken to protect the subject's rights to privacy, which include "provision for anonymity of documents and data." At a time when faculty studies of students and students' studies of other students are quite common, it is pertinent that all parties involved in such research apply the ethical standards widely accepted among professionals--standards which protect the student, the faculty member, and the college.

Recommendation: Any individual [student, faculty member, administrator] doing research with human subjects should be required to fill out a form [see Appendix C] to ensure the protection of those subjects. This form should be submitted to the Research Advisory Committee and the Coordinator of Research for their approval. It should not apply to research involving questionnaires and similar materials submitted to faculty members and staff concerning their responsibilities.

The college is responsible for the quality of its research; thus, it is necessary to establish policy and procedures to ensure this quality. As has already been pointed

out, Black Hawk College has only one study on file in the 1975 Bibliography of Studies in the Illinois Community College Research File. For Black Hawk College to submit studies to the state for more general use, and, even more important, to ensure their use in decision-making internally, quality controls must be present. Since the Coordinator of Research and the Research Advisory Committee have the responsibility of overseeing the form and substance of the studies, they also should determine the quality of the research and whether or not it is acceptable for distribution on campus, to the state, or to any external organization.

Recommendation: Institutional research studies intended for general distribution inside the college or to external organizations should be reviewed by the Research Advisory Committee and approved by the Coordinator of Research. This stipulation does not apply to an individual researcher whose freedom of inquiry and of publication cannot be infringed upon. Recommended Statement of Policy and Procedures on Institutional Research.

Finally, it is recommended that the following set of guidelines and procedures and the following policy statement be accepted and implemented by the institution. This institutional research policy and guidelines will accomplish the recommendations made above and will improve the quality and amount of institutional research at Black Hawk College.

I. Policy Statement:

Black Hawk College recognizes the value of engaging in institutional research activities when they are consistent with institutional goals and philosophy. The college encourages all members of the faculty and staff to consider participating in such research activities as they relate to their own curriculum area or their objectives and responsibilities. The college recognizes that good institutional research will enable Black Hawk College to profit from the experiences of other institutions in defining and resolving problems in curricula, in instructional methodology, and in developing college policies and procedures. Moreover, such research will constitute part of the self-renewal process which is so necessary to the continued vitality of the institution.

II. Guidelines

A. The Development of Institutional Objectives

1. The Coordinator of Research, the Provosts, and the Faculty Senate chairmen will formally communicate their research objectives to the Resource Allocation Committee.

2. The Resource Allocation Committee in its annual process will review the objectives submitted to the committee and determine the institutional research priorities for the following year. Research priorities shall be determined on the basis of how essential the research will be to the decision-making process of the faculty, the administration, the RAC, and the Board in completing the mission of the college. Since the

quality of the studies is of first importance, the RAC should limit its priorities to what can be reasonably accomplished in the following year. The expenditures of time and effort of staff and faculty should be carefully considered in selecting the objectives.

3. The research objectives formulated by the RAC will be communicated formally to those with responsibilities for conducting the research--the coordinator, the researcher, the senates, the deans, and the provosts--before the beginning of the fall semester.

4. The RAC chairman will submit a written description of the purpose and the scope of the study to the staff or faculty responsible for completion of the study.

B. Responsibility for Research:

Although individual staff members and faculty committees are responsible for conducting the actual research, the Coordinator of Research and the Research Advisory Committee have special responsibilities in assuring that institutional research at Black Hawk College plays a vital role in the institution's decision-making process.

1. Responsibilities of the Coordinator of Research:

   a. Formulates and presents to the RAC his priorities for institutional research.

   b. Analyzes and assesses the relationship of research to the institution.

   c. Communicates the results of research throughout the institution.

d. Gives technical assistance to those making research studies as time permits, especially in the designing of research procedures.

e. Maintains a close working relationship with faculty research efforts through membership on the Instructional Development Committee and the Research Advisory Committee.

f. Spends approximately 25% of his time facilitating and directing research in the instruction-related areas, 25% in general institutional research, and 50% in institutional reporting.

g. Maintains a masterfile of all Black Hawk College institutional research studies, as well as pertinent studies from other institutions.

h. Coordinates and helps maintain a research library in the LRC to facilitate the research activities of the college.

2. Responsibilities of the Faculty Advisory Committee

a. Formulates and reports its institutional priorities to the Faculty Senates for eventual consideration in the proceedings of the RAC.

b. Encourages faculty research in instruction by a program of in-service training, including the publishing of a semi-annual faculty bulletin on research within the institution.

c. Recommends the approval of mini-grants from funds within its own budget.

d. Recommends to the Coordinator of Research purchase of material necessary to facilitate and improve institutional research at Black Hawk College.

e. Processes all requests for research that will involve financial expenditures in staff/faculty time or computer services, and forwards them to the Coordinator of Research with recommendations for approval or disapproval.

f. Encourages high quality institutional research by reviewing the design and objectives of all faculty instructional research studies and by suggesting means for improving the studies.

g. Reviews all research proposals by individual faculty and studies for compliance with the guidelines concerning the use of human subjects.

h. Seeks to identify those institutional problems requiring research by conducting its own studies of the college's operation.

i. Initiates and supervises the in-service training for faculty members, including the publication of a semi-annual bulletin describing faculty research and the distribution of the bulletin within the institution.

C. Faculty Participation in Institutional Research

Faculty participation in research should be encouraged to the extent that the research does not interfer with the

faculty's primary function--teaching. One purpose of this research is to monitor how well the instructional staff is completing the college's overall objectives. Research into community needs, degree requirements, graduate follow-up, and program priorities are essential to assessing the present and planning for the future. Another purpose of this research is to encourage faculty to investigate their instructional methodology. The faculty is also involved on a continual basis with researching the complex body of policy and procedures that affect the quality of the institution. These include the areas of tenure, promotion, salary and performance appraisal. The guidelines which follow are intended to increase faculty involvement in research while providing the conditions for improving the quality of that research:

1. The faculty senate chairmen will participate in the process of developing instructional objectives through membership in the RAC.
2. The Research Advisory Committee will be created to review and encourage faculty research.
3. The Research Advisory Committee will dispense grants of less than $1000 to stimulate individual or small group research in instructional areas.
4. The Research Advisory Committee will aid the Coordinator of Research in the development of a research library. The basic purpose of the library will be

to enable staff as well as faculty to view the problems and issues at Black Hawk College in the larger context of education. The library will enable Black Hawk College to profit from the experience of other institutions in developing programs and policies.

5. Faculty participation in research may be used as one criteria for promotion in academic rank. Good research that results in institutional change is a vital contribution to the quality of the institution. Such a contribution will be recognized through the already existing college process of Promotion Review.

D. Reporting Procedures

1. Research studies conducted by district-wide committees will be reported concurrently to the Provosts and the Faculty Senate Chairmen.
2. Research studies conducted by college standing committees will be reported concurrently to the Provost and the Senate Chairmen.
3. The RAC will receive copies of all research that it has requested for review in the annual RAC meetings.
4. The Coordinator of Research will receive copies of all institutional research by staff and faculty. The research studies will be on file and available for use by all college personnel.
5. The Research Advisory Committee will annually present to faculty a description of the research that it has

sponsored. This report will be in addition to the newsletter it publishes which describes current research studies at the college.

E. Basic Budgetary Provisions

The Research Advisory Committee may compensate researchers for their time and incidental expenditures such as clerical help so long as the expenses are fully document. Although the committee may pay the individual for conducting research, it will not make provision for "released" time for the researcher.

F. Funding

The budget of the Research Advisory Committee should be equal to the budget of the Instructional Development Committee. (Present recommendation $9,000)

G. Budgeting Guidelines

1. The RAC will identify any extraordinary expenditures necessary to complete the institutional research objectives and make the appropriate allocations to achieve the committee's objectives.

2. The Research Advisory Committee will process all faculty requests for research and identify the resource expenditures involved in the study. The committee will work within the following guidelines: (1) The need for computer time exceeding eight hours shall be communicated to the Computer Utilization Committee for its approval. (2) The Research Advisory Committee will determine its own priority for expenditures through the screening of applicants. The primary criteria for screening applicants will be the study's contribution to

fulfilling the college's mission.

H. Quality Control

Without quality control, institutional research cannot fulfill its overall purpose of facilitating institutional decision-making. Several steps must be taken to insure this quality. [1] The Research Advisory Committee shall review the design and objectives of institutional studies by the faculty. [2] All institutional studies will be reviewed by the Coordinator of Research and the Research Advisory Committee before general distribution to faculty and staff. The role of those involved in the review process will not be to censor studies, but to specify ways to improve the completeness and accuracy of the study.

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APPENDIX A

Research Officers and Offices to Whom Requests for Information Were Sent, as selected from recent bibliographies of institutional research because of the frequency of their mention.

Those from Whom Responses Were Received: Harcum Junior College, Bryn Mawr, Pa 19010; Office of Institutional Research and Analysis, Montgomery Community College, Rockville, MD 20850; Office of Planning and Research, William Rainey Harper College, Palatine, Il 60067; Office of Planning and Research, Moraine Valley Community College, Palos Hills, Il 60465; Office of Planning and Research, Governors State University, Park Forest South, Il 60466; Office of Planning and Research, Johnson County Community College, Overland Park, Ks 66210; Office of Institutional Research, University of Michigan, Ann Arbor, Mich 48104; Office of Institutional Research, Oklahoma State University, Stillwater, Oklahoma 74079;Office of Institutional Research, Brigham Young University, Provo, Utah 84601; Office of Institutional Planning, Georgia State University, Atlanta, Ga 30303; Office of Budget and Planning, Pennsylvania State University, University Park, PA 16801; Office of Institutional Research, University of Wisconsin, Stevens Point, Wisc 54481; Office of Research, Jersey City State College, Jersey City, NJ 07303; Office of Institutional Research, Indiana University, Bloomington, IN 47401; Office of Institutional Research, Western Michigan University, Kalamazoo, Mich 49001; University Bureau of Institutional Research, University of Illinois, Champaign, Il 61820; Office of Educational Development and Research, University of Tennessee at Martin, Martin, Tenn 38237; Office of Institutional Research, University of California, Berkley, CA 94720; Office of Program Planning and Analysis, University of Georgia, Athens, GA 30602; Henry Moughamian, Coordinator of Research and Evaluation, City Colleges of Chicago, Chicago, Il 60601; Office of Institutional Research, U.S. Military Academy, West Point, NY 12550; Office of Institutional Research, University of Tennessee, Knoxville, Tenn; Office of Institutional Studies, University of Southern California, Los Angeles, Ca 9007; Office of Institutional Research, Northern Michigan University, Marquette, Mich 49855.

Those from Whom No Answer Was Received: Office of Institutional Research and Planning Studies, University of Pittsburg, Pittsburg, Pa 15213; State University of New York, Central Staff Office of Institutional Research, Albany, NY 12210; Office of Institutional Educational Research, University of Washington, Seattle, WN 98195; Office of Institutional Research, Fort Hays Kansas State College, Hays, KS 67601; Office of Institutional Research, C.W. Post Center for Long Island University, Greenvale, NY 11548; Office of Planning and Research, Macalester College, St. Paul, MN; Office

of Institutional Research, Madison College, Harrisonburg, Va 2201; Institutional Research, VPI and State University, Blacksburg, Virginia 24061; Office of Planning and Policy Research, City University of New York, New York, NY 10021; Office of Institutional Analysis, University of Virginia, Charlottesville, VA 22903; Academic Planning Office, Stanford University, Stanford, CA 94305; Office of Institutional Research, East Carolina University, Greenville, NC 27834; Office of Institutional Research and Evaluation, Empire State College, Saratoga Springs, NY 12901; Office of Planning and Institutional Research, Portland State University, Portland, Or 97207; Institutional Research, VA Polytechnic Institute and State University, Blacksburg, VA 24061; Office of Institutional Studies, University of San Francisco, San Francisco, Calif 94117.

COPY OF LETTER USED TO REQUEST INFORMATION FROM THE INSTITUTIONS LISTED ABOVE.

BLACK HAWK COLLEGE 6600 34th Avenue Moline, Illinois 61265 309/755-1311

Dear Sir:

I am a member of a faculty committee that is developing a proposed policy on institutional research designed to coordinate the efforts of all sectors of our institution and to encourage that research which is necessary.

As necessary background for this work, I hope to be able to study the research policies at other schools that have demonstrated a commitment to and an interest in institutional research. I have observed that your institution is currently engaged in considerable institutional research.

Therefore, I would find very helpful a copy of any policy that you may have relating to institutional research, and I would also appreciate any further information on your institutional research activities that you have available to send me, especially relating to the commitment of institutional resources and the sponsorship of faculty research.

Sincerely yours,

Mary Stevens

Mary Stevens
Professor
English Department

APPENDIX B

Black Hawk College Administrators Interviewed

1. Alban E. Reid, President. Date interviewed: January 23, 1976.
2. Richard J. Puffer, Vice President for Academic Affairs and Provost, Quad-Cities Campus. Date interviewed: January 26, 1976.
3. Robert L. Dan, Vice President for Administration and Finance. Date interviewed: February 3, 1976.
4. Charles J. Carlsen, Dean of Student Services, Quad-Cities Campus. Date interviewed: February 5, 1976.
5. James R. Buck, College Development Officer. Date interviewed: February 4, 1976.
6. Terry Kramer, Research Analyst. Date interviewed: February 9, 1976.

1. To your knowledge, which of the following types of institutional research are being currently conducted at Black Hawk College?

____space utilization studies
____fiscal management studies
____effectiveness of teaching methodologies
____evaluation of curricula and courses
____teacher evaluation
____program evaluation
____assessment of community needs and attitudes
____assessment of success in fulfilling the college's mission
____transfer performance studies
____assessment of teaching loads
____enrollment trends
____salary studies
____faculty opinion and attitude studies
____student opinion and attitude studies

2. Which of these are being done sufficiently well?

____space utilization studies
____fiscal management studies
____effectiveness of teaching methodologies
____evaluation of curricula and courses
____teacher evaluation
____program evaluation
____assessment of community needs and attitudes
____assessment of success in fulfilling the college's mission
____transfer performance studies
____assessment of teaching loads
____enrollment trends
____salary studies
____faculty opinion and attitude studies
____student opinion and attitude studies

3. Which of these could be completed by faculty members given technical assistance?(*) Which of these could best be completed by faculty members?(**)

____space utilization studies
____fiscal management studies
____effectiveness of teaching methodologies
____evaluation of curricula and courses
____program evaluation
____assessment of community needs and attitudes
____assessment of success in fulfilling the college's mission
____transfer performance studies
____assessment of teaching loads
____enrollment trends
____salary studies
____faculty opinion and attitude studies
____student opinion and attitude studies

INTERVIEW FORM FOR SELECTED ADMINISTRATORS--page 2.

4. In your opinion which four or five of these are of first importance?

____space utilization studies

____fiscal management studies

____effectiveness of teaching methodolcgies

____evaluation of curricula and courses

____teacher evaluation

____program evaluation

____assessment of community needs and attitudes

____assessment of success in fulfilling the college's mission

____transfer performance studies

____assessment of teaching loads

____enrollment trends

____salary studies

____faculty opinion and attitude studies

____ student opinion and attitude studies

5. In your opinion, which others are needed?

6. In your opinion, how adequate and successful is institutional research at Black Hawk College?

7. What are Black Hawk College's major deficiencies and drawbacks in efforts at institutional research?

INTERVIEW FORM FOR SELECTED ADMINISTRATORS--page 3.

8. In the absence of a vice president of planning and development, what office could best coordinate institutional research activities?

In General:

____President

____Provost

____College Development Officer

____Research Analyst

____other

For the Faculty:

_____IRC

_____Faculty Senate

_____a research advisory committee

_____other

9. Given present college financial restraints, which of the following resources could be established to assist in approved institutional research by the college staff?

____availability of a central data bank

____availability of computer time

____establishment of a college clearinghouse and provision for the publication of research findings for internal distribution

____clerical and printing assistance

____establishment of a professional library and reading room for faculty and staff

____services of a faculty consultant on research techniques

____released time or extra salary to faculty and administrators completing institutional research

10. How do you believe that the Board of Trustees might react to the following recommended board policy on institutional research?

The college recognizes the value of engaging in sponsored research and grant programs, when they are consistent with institutional goals and philosophy. The college encourages all members of the staff to consider participating in such programs as they relate to their own curriculum area. Ideas for sponsored research and grant programs may originate at any level; however, the [some existing administrator) office will have the responsibility for coordinating and approving all sponsored programs and the College Development Officer's office will take the leadership in seeking federal, state, and private funds to finance these programs.

11. What is the purpose of the Instructional Research Committee?

INTERVIEW FROM SELECTED ADMINISTRATORS--page 4.

Has it accomplished its purposes?

Could any changes be made in it to improve institutional research?

12. In your opinion, do some faculty members possess the ability to complete needed institutional research?

If so, how can these persons best be encouraged to do so?

Should successful completion of institutional research by faculty be considered, along with committee membership, as one criterion for promotion in academic rank?

What would be the justification of doing so?

13. In the last two years, the Faculty Senate has had objectives and needs requiring research on "the quality of education," curricula and courses, teacher evaluation and faculty workload. What degree of institutional commitment is there is to assist the Senate and what degree should there be?

INTERVIEW FROM SELECTED ADMINISTRATORS--page 5.

14. In recent years, the Compensation Program Committee has had need of institutional research in the areas of salary, teaching load, and faculty opinion and attitude. What degree of institutional commitment is there to assist it? How much should there be?

15. What does Black Hawk College gain from participating in research consortia and cooperating in inter-institutional research and why do we do so?

16. To your knowledge what types of cooperation of the sort mentioned just above has Black Hawk College been involved in recently?

17. In your opinion, could Black Hawk College save money by better institutional research?

If so, how? What are the specific benefits to offset the costs?

APPENCIX C: HUMAN PROTECTION IN RESEARCH

BLACK HAWK COLLEGE
Moline, Illinois 61265

PROTECTION OF HUMAN SUBJECTS
Application for Approval of Investigation
Involving Use of Human Subjects

Date_____

This application must be completed and submitted if the investigation proposes any activity that would involve human beings who might be considered subjects, human material, or related to personal data from primary to secondary sources. If you have questions as to the interpretation of this policy, check with the Chairman of the Research Advisory Committee.

I. Name, Title, Unit and Telephone Number of Investigator(s):

II. Title of Proposed Investigation:

III. Outline of investigation in respect to:

A. Objectives

B. Approximate number and ages of persons being studied:

C. Criteria for selection and inclusion of subjects:

D. Nature of procedures that involve the subjects(please be specific)

IV. Outline of investigation with respect to: (continued)

E. If any deception is required for the validity of this investigation, explain why this is necessary:

F. Names of tests to be administered or instruments to be used with subjects. (If non-standardized test or questionnaire type instruments are to be used, include a copy or preliminary sample with this application.):

G. Nature and amount of risk, or substantial stress or discomfort involved or anticipated:

V. Names of persons responsible for performing or supervising procedures, if other than those listed in I. above:

VI. Steps to be taken to ensure subject's rights of privacy, including: (a) provisions for anonity of documents and data, and (b) controls over access to documents and data:

VII. Approval by Dean_____(Signature)

_____(Date)

VIII. Action by Research Advisory Committee:

A. ☐ Approved as submitted for the following period:

From_____Through_____

☐ Approved, subject to the following conditions:

Committee Chairman_____Date_____

B. ☐ Disapproved because of the following:

Committee Chairman_____Date_____